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ABSTRACT

The concepts and components of Management by Objectives (MBO) are examined in terms of their application to educational administration. The paper begins by defining MBO, differentiating its components (e.g., individual and institutional goals and mission statements), and emphasizing the need for management styles conducive to objective management. Next, the steps in implementing MBO are listed and examined in detail; these include institutional goals, individual goals, periodic performance reviews, and end-of-year appraisal sessions. Then the mechanics of management objectives are considered, including writing styles (e.g., simple sentences, qualifying paragraphs, and columnar grids); classification of objectives as routine, problem-solving, innovative, or personal; measuring techniques; and the establishment of priorities. The section concludes with goal-setting guidelines, such as check relevant sources; be succinct and simple; make goals realistic and challenging; limit the number of goals from ten to 15; write out desired results, how they will be achieved, and the criteria of success; state criteria in ranges; set a target date; set priorities; and distribute goals. An administrative development program is then outlined, including such topics as the role of management, organizational development, decision making, delegation, creativity, and performance appraisals. Finally, a time-table for implementing MBO is elaborated. An extensive bibliography is provided. (RI)

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M B O

A PRIMER FOR EDUCATIONAL MANAGERS

BY

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JC 810 650

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A PRIMER FOR EDUCATIONAL MANAGERS

INTRODUCTION

Educational managers are not renowned for their effectiveness. In fact some authorities are quick to point out that probably one of the greatest impediments to good educational management is the inadequate management practices of educational administrators. (97:17) And with the onset of the age of accountability and urgings to close the credibility gap, education has been encouraged even more to strengthen its overall management position. (61:279) But these recent influences upon educational managers have left the situation in somewhat of a disarray. If for no other reason, educational managers are just not sure which way to turn. They are told they need help. And for the most part, they would like to get help. But the overriding question is, "Where do I get this help?" And secondly, "...precisely what kind of help do I need?" One of the answers that has been offered to educational managers to help them rise above their plight is the concept of MBO or Management-By-Objectives. In the last ten to twenty years, MBO has come to be a well-known concept in the field of business and industrial management.

DEFINITION

The number of definitions that exist of MBO are about as numerous as the number of authorities on the subject. Probably as good a definition as any is the following bastardization:

> Management-By-Objectives is a systematic and continual process whereby the members of a given management team pursue mutually agreed upon goals of and for their organization. (71:271)

As with any definition, it can probably be enhanced greatly by a breaking-down and analysis of its various components.

The first phrase of the definition states clearly that MBO is a systematic and continual process. That is to say that it is an organized or established procedure with regularly reoccuring, interacting, and interdependent groups of factors and variables that help to form a unified whole. In this case, a Management-By-Objectives system of management. The second part of the definition explains that MBO is effected by the members of a given management team. This means that MBO is a total institutional or organizational process. It demands adherence to the "management team" concept. For maximum effectiveness, it should not be fragmented through the institution. It would be difficult for one department

CREDIBILITY CLIFF
MBO
HELP!!
$EA
OF
ACCOUNTABILITY

to pursue MBO and to try to make it an effective process without the complete cooperation and total effort of the entire organization.

Take an admissions office, for example. As one of their objectives, they might want to establish and pursue a completely automated registration system. Without the support of the entire institution, the monetary and operational difficulties that could arise would surely produce a failure just this side of chaos. The importance of this corporate quality is underscored by the last part of the definition. It states that MBO is founded upon the mutual agreement of institutional managers and institutional goals for maximum effectiveness. This phrase necessarily implies that close cooperation and communication is the keynote of a sound MBO system.

CONCEPTUAL DISTINCTIONS

Students of MBO should recognize that it is a total concept made up of many component parts. In order to completely understand the whole, it is of value to discern between the various components of the total MBO system. For example, it is important to note that there is a difference between individual and institutional goals. Individual goals are those which an individual manager establishes for his office or operation in cooperation with other managers, institutional goals, mission statements, and job descriptions. Institutional goals reflect the overall direction of the institution for the forthcoming year. Institutional goals are the rallying point behind which all managers within the organization build their individual objectives.

Whether you are talking about institutional or individual goals, the definition of the word "goals" is the same. In both cases, they are the result, that which is to be accomplished. And for the purpose of this text, they are to be synonymous with the term "objectives". One item that is often confused with goals and objectives in an educational institution is the mission statement.

Mission statements are statements usually found in the college catalogue or class schedule. Their primary message is to state the philosophy or overall purpose of the institution, itself. Mission statements are different from goals in that they are never really accomplished but rather continue on forever, as long as the institution exists.

Goals and objectives, however, are measurable results that cease to exist when they are accomplished. For example, a college might have as a part of its mission statement, "to educate the students for a brighter and more productive tomorrow". It is doubtful that anyone could quarrel with the intent of this statement. Its lofty forthrightness is surely beyond reproach and attack from all right-reminded persons. But the fact of the matter is, it is not measurable or quantifiable. Nor does it set any sort

of completion date or other kind of parameters for its accomplishment. In effect, it is a result that cannot be measured or accomplished. It is, nevertheless, an ongoing mission of the college or institution and should be viewed from just that perspective.

FIGURE I

MISSION STATEMENT

> The Mission of Bubble Nub College, within the framework of this philosophy, is to provide the highest quality community college program of education, to seek out the most modern, creative and effective organizational and educational ideas, and to test, improve, and implement those ideas which meet the needs of the community. Inherent in this mission is the responsibility of providing these programs at a reasonable cost to the student and at an efficient and reasonable cost to the community.

MEASURIBILITY

A criticism of MBO, and for that matter any type of behaviorally-oriented system of performance-based design, is that..." there are some things that you just can't measure." In some instances, it is pretty tough to argue with this statement. On the other hand, if you are really committed to an objectives approach, you can find solace in the resolve that:

> If you can't measure, define, or describe what you are doing, then you probably don't know what you want or what you are doing. And if that is the case, it is not, or at least, should not, really be a goal. If you don't know where you want to go, how are you ever going to get there?

But to read about these other management styles, implies that one should disregard alternative management styles and necessarily turn to an MBO system of educational administration. While that very well might be the best course of action, it really doesn't hold much value, and therefore, demands very little commitment, unless one has some idea of the types of management styles that he is turning his back upon when he adopts an MBO system. As the reader progresses through the ensuing pages, the differences between MBO and the more traditional management styles should become more apparent.

THE SYSTEM

Generally speaking, the implementation of an MBO system consists of the following steps:

1. Institutional goals are established
2. Individual (Managerial goals are set and pursued)
3. Performance reviews are held periodicially to evaluate progress in achieving goals
4. Appraisal sessions are held at the end of the year to assess and reward accomplishment.

In step #I, managers throughout the institution submit their suggestions for institutional goals to their superiors sometime prior to the beginning of the managerial year. Because of the inherent relationship between management and money, it is recommended that the goals be submitted in synchronization with the budget preparation process so that the corporate goals of the institution are in tune with the resources available for their attainment. This is especially true if the organization subscribes to a PPBS format. The goals are then reviewed and refined as they filter through the varying levels of the managerial hierarchy to the top of the organization. They are checked for continuity and compatability with the current economic and social climate, the mission statement of the institution, past and present long range plans for the organization, and the job descriptions of the respective managers. Once the goals for the institution have been formulated, they are distributed to each manager in the organization.

FIGURE 2

AN INSTITUTIONAL GOAL

Is to broaden continuing education services by:

A. Increasing evening credit and non-credit offerings

B. Increasing upper division and graduate extension offerings

C. Maintaining special education programs for homemakers and developing a long range funding pattern for enlargement of these programs

In this second step of the MBO process, managers are charged with the responsibility of developing the performance goals for their respective office that reflect the overall direction of the institution as indicated by the institutional goals. In writing performance objectives, the manager consults frequently with his superiors, subordinates, and counter-parts to insure that everybody will be working in consort and harmony and most important of all, towards the same end. Starting with the next year then, the manager will begin to work towards achieving his objectives.

FIGURE 3

AN INDIVIDUAL GOAL

Evening and Continuing Services are expanded to include further offerings. This objective will be considered achieved when:

A. At least 15 upper division and graduate extension offerings are presented to the community by March 15, 1973.

B. At least 20 courses and/or workshops have been presented to industrial and business personnel by March 15, 1973.

As the year proceeds, the manager will periodically, (three or four times) meet with his superior to review the progress made in achieving his goals. These performance review sessions provide a good opportunity for the manager and his subordinates (or superior) to discuss areas for improvement or managerial skills. For this reason, these meetings can often be called Coaching and Development as well as Performance Review Sessions. In addition to Coaching and Development and Performance Review, these sessions also enable the management team to revise, add, or delete goals as the circumstances so warrant.

Some managers find it advantageous to conduct the performance review session according to a pre-determined agenda or set of questions. Of course, this is not a mandatory procedure in MBO. It is just another suggested alternative. What is important, however, is that both parties feel free to openly communicate about their respective jobs as they relate to the working relationship at hand as well as the overall atmosphere of the organization. As long as this type of a situation prevails, it is conceivable that any pre-determined agenda could and should merely serve as a reference guide to this performance review.

While a set of interview questions is not essential to a good performance review, planning and preparation on the part of both parties for the session is mandatory. There is probably nothing more counter-productive to a meaningful performance review than one or more persons who haven't reviewed the objectives to be discussed prior to the meeting.

FIGURE 4

PERFORMANCE REVIEW QUESTIONS

1. Are your duties and responsibilities adequately defined?
2. Do you find your work sufficient and challenging?
3. Do you feel your work and ability are appreciated?
4. Do you feel you get the backing and support you need?
5. Are you informed and consulted when you should be?
6. Do you have access to your supervisor to talk things over freely?
7. Do you have the authority and opportunity to exercise initiative?
8. Do you feel your opportunities are adequate?
9. What could your supervisor or others do to help you do a better job?
10. What kind of place, in general, do you feel this is to work?
11. Other comments not covered in this session.

The final performance review session of the year and Step #4 of the MBO system is, for all practical purposes, an appraisal session. The purpose of this meeting is to assess the degree to which the manager has accomplished his goals for the year. Based upon the degree of accomplishment, a person may be rewarded accordingly for his performance - with a salary increase or promotion or whatever.

The following administrative performance categories are offered as a guide in linking an MBO system to a performance reward system. Marginal and below average performers would probably not receive any financial reward or promotion. In fact, they may be subject to release or probation. Satisfactory performers would probably be entitled to the standard salary increase. Above average performers could earn merit pay while superior performers might receive a bonus.

DRUCKER
MCNAMARA
MAGER
O'DIUBNE
AHTI
COURT OF COACHING, Development, & Appraisles

FIGURE 5

ADMINISTRATIVE PERFORMANCE CATEGORIES

I.	Marginal Performance -	Achieved less than 65% of objectives
2.	Below Average Performance -	Achieved 65-75% of objectives
3.	Satisfactory Performance -	Achieved 75-85% of objectives
4.	Above Average Performance -	Achieved 85-95% of objectives
5.	Meritorious Performance -	Achieved more than 95% of objectives

THE MECHANICS

There are varying styles of writing management objectives. Whatever the style, the basic content is the same. The desired result is stated in terms of how and to what degree it is going to be achieved. Stating the criteria for successful accomplishment in ranges rather than in fixed amounts introduces an element of flexibility into a managerial system which is sometimes criticized for its rigidity. Today the more popular styles for writing objectives are the simple sentence, the qualifying paragraph, and the columnar grid.

FIGURE 6

WRITING STYLES

Simple Sentence - My objective is to increase the average class size to 25 to 30 students per section for the 1973-74 academic year.

Qualifying Paragraph - My objective is to maximize classroom building utilization. This objective will be considered achieved when:

1. An analysis of past, present and projected building utilization is made by February 1, 1973.
2. 90% - 100% of the scheduled classes actually run.
3. One-half of the classes are scheduled in the morning and the remaining half in the afternoon.

FIGURE 7

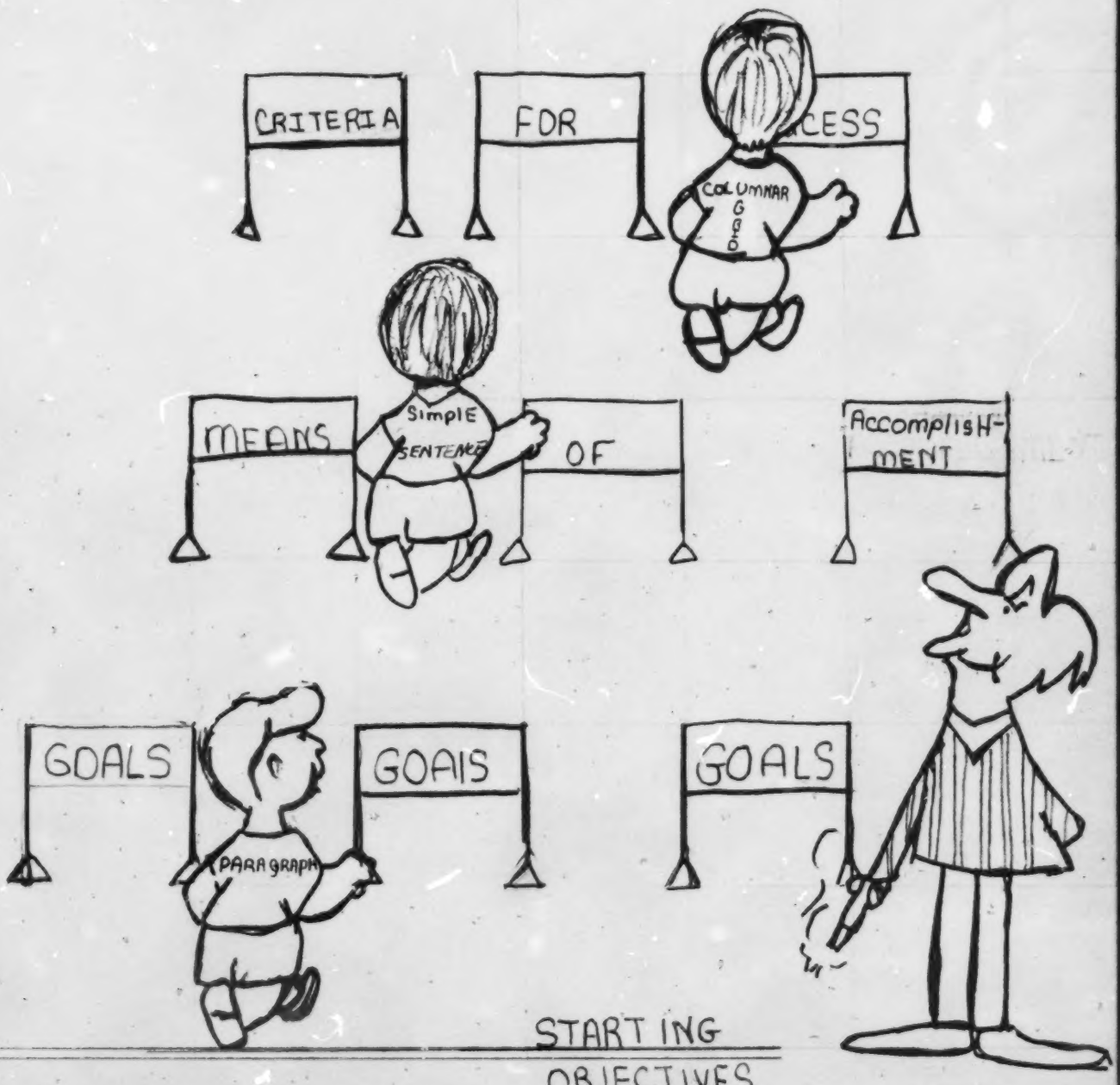
COLUMNAR GRID

	WHAT	HOW	CRITERIA	VALUE
ROUTINE	MANAGEMENT DEVELOPMENT	IMPLEMENT MBO	90% OF SUPERVISORS HAVE AN MBO INTERVIEW BY JULY 30	5%
PROBLEM	POLICY REVIEW	REVIEW ALL MANUALS	ROUTINELY UPDATING BY 6/25 READY FOR BOARD BY 7/15 APPROVED BY BOARD BY 8/15	5%
INNOVATIVE	CAMPUS MASTER PLAN	BOARD REVIEW AND APPROVAL	ENROLLMENT PROJECTIONS COMPLETED BY 2/1 BUILDING NEEDS DETERMINED BY 3/1 CAPITAL FUNDING AVAILABLE BY 4/1	10%
PERSONAL	PROFESSIONAL INVOLVEMENT	PARTICIPATE IN PROFESSIONAL ORGANIZATIONS	MEMBER OF TWO ORGANIZATIONS BY 11/15 OFFICER IN ONE ORGANIZATION BY 5/15	5%

MEASURABIE

MANAGEMENTS BY OBJECTIVES

FINISH



START ING

OBJECTIVES

Upon being written, managerial goals can be placed in any one of four categories: Routine, problem, innovative and personal. Routine Goals are those which are an everyday aspect of the job such as preparing the budget, developing publicity, or staffing positions.

FIGURE 8

A ROUTINE GOAL

Achieve the following acceptable enrollment, evaluation, and financial index for the following activities. This objective will be considered achieved when the activities offered meet the following guidelines for number of programs, enrollment, evaluation, and when the income from such activities generates sufficient monies to meet budgeted expenses. (The income column suggests guidelines for exceeding direct expenses in order to cover indirect expenses and necessary developmental money).

	Programs	Enrollment	Evaluation	Income Per
1. Women's Programs	6-10	30	4.0	$100. - $200.
2. Industrial Seminars	25-30	30	4.0	$250. - $500.
3. Non-Credit Classes	175-225	20 to 1	-	$150. - $350.
4. Extension Classes	30-40	26	-	-
5. Contractual Programs	10-15	30	4.25	$200. - $400.
6. University Extension	25-35	25	-	$ 50.
7. Adult Basic Education Sections	6-8	70	-	-

Problem Goals are an attempt to resolve an existing dilemma. Among other problems, they might include increasing efficiency, reducing costs, clarifying procedures, etc.

FIGURE 9

A PROBLEM SOLVING GOAL

Develop a procedural guideline for the development of community service programs. This objective will be considered achieved when the following conditions exist:

I. The guideline is submitted and accepted by the Vice President of Academic Affairs by January 15, 1973.

Innovative Goals are those which are new to the management of a given operation. They have never been tried before and could include the development of a new program, implementing a new technique or trying out a new evaluation system.

FIGURE 10

AN INNOVATIVE GOAL

Explore possibilities of offering junior and senior level courses on-campus leading to a BA degree with available colleges and universities. This will be accomplished when:

I. Meetings with two universities have been held.

2. One proposal for cooperation is developed and implemented for the 1973-74 school year.

Personal Goals are objectives which a manager sees as being relevant to his position. In the case of educators, this might take the form of joining professional organizations, publishing, or working on an advanced degree.

Some quarters do not encourage the inclusion of personal goals into the total MBO process. There is some question as to whether or not a manager should be evaluated, promoted, or given a raise on the basis of his personal objectives. The final determination here might rest with the organization in the form of a policy or as an understanding between the manager and his superior.

FIGURE II

A PERSONAL GOAL

My personal objective is to begin to earn a professional reputation. This objective will be considered achieved when the following condtions exist:

1. I have joined two professional organizations by January 1, 1974.

2. I am serving on at least one professional committee not associated with a professional organization.

3. I have two articles accepted for publication by professional journals.

The ways that a goal can be measured for accomplishment will depend upon the type of goal. For example, routine goals are concerned with standard output and are usually measured by non-performance of activities. Problem goals, on the other hand, are concerned with something that is not up to par. The accomplishment of this type of goal is usually signified by the implementation of a workable solution to the problem. Innovative goals are new ideas and are typically measured by their degrees of development.

FIGURE 12

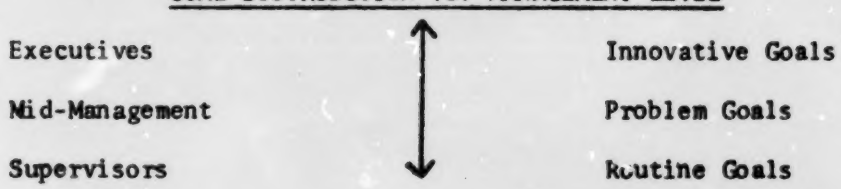
MEASURING GOALS

TYPE OF GOAL	WHAT IT CONCERNS	HOW TO MEASURE
ROUTINE	Standard Output	By Exception
PROBLEMS	Below Standards	By Solutions
INNOVATIONS	Something New	By Stages

Management experts are pretty well in agreement that the higher the managerial position that a person occupies, the less time he should spend on routine goals and the more time on innovative goals. Correspondingly, lower eschelon managers should have a greater proportion of their time spent in routine goals and a lesser number in innovative.

FIGURE 13

GOAL DISTRIBUTION VS. MANAGEMENT LEVEL



To insure that the final product is a soundly prepared set of management objectives, the following set of goal-setting guidelines is offered as a checklist.

To account for the varying priorities that are placed upon a manager's goals, it is recommended that each goal be assigned a given value in relation to the overall goals for the manager. By assigning priorities to objectives, the manager has no trouble in determining which deserve the most attention from his workload. This procedure also permits a manager to better assess the accomplishments of his subordinates.

For example, consider goals A, B, and C. Goal A is worth five percent (5%), goal B ten percent (10%) and goal C twenty-five percent (25%).

If the goals were not discerned from one another on the basis of priority, they would presumably be of equal importance. But goal C is of greater priority than goals A and B put together. So if the manager were to accomplish two of his three goals or if he were to accomplish A and B and not C, he would not have accomplished the greater percentage of his goals. Conversely, by accomplishing goal C, he would have achieved more than the total worth of goals A and B. Therefore, it is most important that a manager be evaluated on the basis of the value of the goals accomplished rather than on the number of goals accomplished. And this attribute can be readily attained by assigning a percentage value to each goal.

GOAL-SETTING GUIDELINES

I. Check relevant sources.

   A. Mission Statement

   B. Institutional Goals

   C. Long Range Plans

   D. Past Goals

   E. Goals of Other Managers

   F. Job Description

II. Be succinct and simple

III. Make realistic (attainable), yet challenging.

IV. Limit number of goals to 10-15.

V. Write result desired, how achieved, criteria for successful achievement.

VI. State criteria in ranges.

VII. Set target date.

VIII. Prioritize goals.

IX. Distribute throughout institution.

THE GOOD AND THE BAD

MBO is not a panacea for all of an organization's ills. It is merely one more tool that a manager can draw upon in meeting responsibilities and obligations of his position. MBO often requires some rethinking of current management practices. This rethinking may reveal the need for an in-service administrative development program to equip managers with the skills to successfully implement an MBO system. Obviously, an administrative development program could be implemented in a variety of ways, i.e., seminars, workshops, college courses, independent study, etc. Whatever the way, the following topics are offered as suggestions for the content of the program.

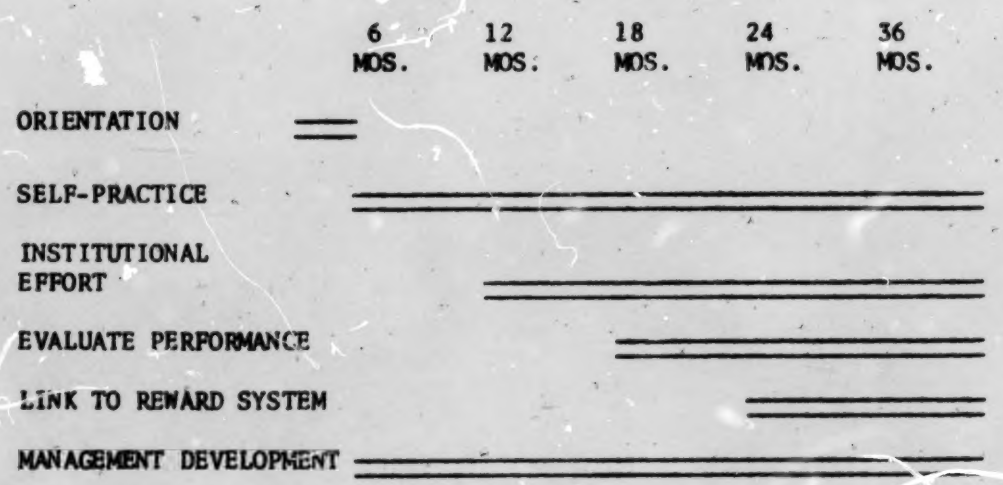
MANAGEMENT DEVELOPMENT TOPICS

1. Role of Management
2. Management By Objectives
3. Organizational Development
4. Decision-Making
5. Interviewing
6. Delegation
7. Creativity
8. Motivation
9. Coaching and Performance Appraisal
10. Administrator-Secretary Relationships

Because the manager becomes more accountable and skillful, the entire administrative structure might be reorganized to reflect a decentralized decision-making process. Quite simply, this means that more decisions will probably be made further down the administrative ladder. And because all of this probably presents an unknown, and even a threat, to prevailing attitudes, MBO can generate an atmosphere of apprehension. This apprehension is probably dealt with best by phasing into MBO over a period of two to five years. In fact, most authorities agree that it takes MBO that long to reach optimal maturity.

FIGURE 16

MBO TIMETABLE



As the timetable suggests, the organization moving into MBO should begin with a 2-5 day orientation session on MBO concept. Depending upon the circumstances and the prevailing attitudes of the institution, the orientation may be conducted by a person or persons from outside of the organization. Whoever leads the orientation session, it is advisable to follow up with periodic progress visits and reports over the next two to three years.

After the group has been introduced to MBO, it is suggested that they be merely committed to a self-imposed practice of the technique for the next few months. This tactic permits the managers to become familiar and hopefully comfortable with the process. Once a general air of acceptance seems to prevail throughout the institution, it is time for the institution as a whole to practice MBO as a management team. Again, depending upon the situation, it is probably not a good idea to hold the managers responsible for the success or failure of the system. This is merely a "road-testing" period and is intended to acquaint the organization and its members with MBO as a total institutional process and effort.

Once the organization and its members have had enough time to become familiar with MBO, and the organizational commitment to MBO has become finalized, the next step is to make it the accountability instrument for the institution. Even at this point, however, it is probably best not to tie MBO to the managers' reward system. Once he or she learns that they can live with the system, the link to salary raises, merit pay, bonuses, and promotion will be a less difficult transition.

All the while that the "phasing-in" is in process, the administrative development program is in progress. The frequency and type of development program will, of course, vary with needs of the organization and its managers. And it is entirely conceivable that the management development aspect will never cease. An on-going in-service training program is a permanent fixture in many organizational settings.

Given these eventualities, MBO could prove to be expensive. And to top it all off, the transition is not easy. Even where the transition has been a success, there is sometimes a feeling that the system is too highly performance-oriented and lacks concern for the human factor. (112:1) It requires a lot of hard work for all parties concerned. The growing number of organizations that are switching to MBO, however, indicates that the effort might be well worth the reward. (116: 176-178). One of the reasons that more and more institutions are turning to MBO is because it gets results.

In this day of accountability, organizations must demonstrate accomplishment. Enroute to demonstrating accomplishment, organizations are finding that it pays to place more and more attention to the planning function. Because planning is the backbone of MBO, management by objectives serves a very real need. In addition to accomplishment, planning also yields economies.

MBO is often championed for its ability to get the most and the best from its practitioners. And because it promotes quality and productivity, the organization tends to get more for its dollar. In addition to stretching the dollar, MBO also deals with the problem of communication.

If the appraisal and performance review are properly conducted, they can provide an effective vehicle for colleagues to exchange their professionally relevant needs and wants. All-in-all, these positive features tend to breed high morale and a positive work-a-day atmosphere.

FINAL WORD

Contrary to what some people might think, MBO is not and should not be construed as an arbitrary and inflexible system. Its essence is planning, accountability and accomplishment. That it manifests these traits is the most important thing. That objectives are written in a certain way or that some given steps are followed in implementing an MBO system is not of paramount importance. In this writer's opinion, variations on style and technique as well as exceptions to stated procedures are acceptable insofar as the end result is a well-managed organization that is going where it wants to go.

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